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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.	1488.1280006/EKS/EJH
First Inventor	Ying-Fei Wei
Title	Tumor Necrosis Factor Receptor 5
Express Mail Label No.	

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.

3. ☒ Specification [Total Pages 73]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the invention
- Brief Summary of the invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 23]

5. ☒ Oath or Declaration [Total Pages 2]

a. ☐ Newly executed (original or copy)

b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)

i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR §§
1.63(d)(2) and 1.33(b).

6. ☒ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program
(Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

a. ☒ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☒ paper

c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
and two Powers of Attorney

11. ☐ English Translation Document (if applicable)

12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS
Citations

13. ☒ Preliminary Amendment

14. ☒ Two (2) Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach
form PTO/SB/35 or its equivalent.

17. ☒ Other: Authorization under 37 C.F.R. § 1.136(a)(3)

☒ Other: The name of the assignee is: Human Genome Sciences, Inc.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-Part (CIP)

of prior application No: 09/006,353

Prior application information: Examiner Eileen B. O'Hara

Group/Art Unit: 1646

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is
considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only
relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

Customer No. 28730



(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.C.				
	Attorneys at Law PATENT, TRADEMARK OFFICE				
ADDRESS					
CITY		STATE		ZIP CODE	
COUNTRY		TELEPHONE		FAX	

NAME (Print/Type)	Elizabeth J. Haanes, Ph.D.	Registration No. (Attorney/Agent)	42,613
SIGNATURE		Date	April 5 2001

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$2,362.00)

Complete if Known

Application Number	To be assigned
Filing Date	Herewith
First Named Inventor	Ying-Fei Wei
Examiner Name	To be assigned
Group Art Unit	To be assigned
Attorney Docket No.	1488.1280006/EKS/EJH

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number: 19-0036
Deposit Account Name: Sterne, Kessler, Goldstein & Fox P.L.C.

☐ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed.

☒ Check ☐ Credit card ☐ Money Order ☒ Other*

*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$) 710.00

2. EXTRA CLAIM FEES

Extra	Fee from below	Fee Paid
Total Claims 94 - 20** = 74	X 18	= 1,332.00
Indep. Claims 7 - 3** = 4	X 80	= 320.00
Multiple Dependent		=

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
108	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 1,652.00

**or number previously paid, if greater, For Reissues, see above

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify):

Other fee (specify):

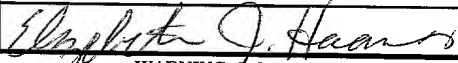
*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Elizabeth J. Haanes, Ph.D.	Registration No. (Attorney/Agent)	42,613	Telephone	202-371-2600
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Signature		Date	April 5, 2001
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04/05/01

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

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09/826212



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**REGISTERED PATENT AGENT
***SENIOR COUNSEL

April 5, 2001

WRITER'S DIRECT NUMBER:
(202) 218-7834

INTERNET ADDRESS:
BHAANES@SKGF.COM

Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
(Divisional of Appl. No. 09/006,353; Filed: January 13, 1998)
Appl. No. To be assigned; Filed: Herewith
For: **Tumor Necrosis Factor Receptor 5**
Inventors: Wei *et al.*
Our Ref: 1488.1280006/EKS/EJH

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Fee Transmittal (Form PTO/SB/17);
2. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (*in duplicate*);
3. PTO Utility Patent Application Transmittal (Form PTO/SB/05);
4. Application Data Sheet Under 37 C.F.R. § 1.176
5. U.S. Utility Patent Application entitled:

TUMOR NECROSIS FACTOR RECEPTOR 5

Commissioner for Patents

April 5, 2001

Page 2

and naming as inventors:

Ying-Fei WEI

Reiner GENTZ

Jian NI

Steven M. RUBEN

the application consisting of:

- a. A specification containing:
 - i. 67 pages of description prior to the claims;
 - ii. 5 pages of claims (22 claims);
 - iii. a one (1) page abstract;
 - b. 23 sheets of drawings: (Figures 1A, 1B, 2A, 2B, 2C, 2D, 2E, 2F, 2G, 2H, 2I, 2J, 2K, 2L, 2M, 2N, 2O, 2P, 3, 4, 5A, 5B-5C, and 6; and
 - c. 36 pages of a paper copy of a sequence listing;
 - d. A copy of the executed Declaration and Power of Attorney, as originally filed in U.S. Appl. No. 09/006,353;
 - e. A copy of an assignment to Human Genome Sciences, Inc., as recorded at reel: 9418; frame: 0772;
6. A Preliminary Amendment;
 7. A computer readable copy of the sequence listing;
 8. Copies of Associate Powers of Attorney filed on August 12, 1999 and April 25, 2000 along with the U.S. Patent and Trademark stamped returned postcard;
 9. A copy of a Statement Concerning the Deposited cDNA Clone, as originally filed in U.S. Appl. No. 09/006,353;
 10. A copy of the specification and drawings as originally filed in U.S. Appl. No. 09/006,353; which is incorporated herein by reference;

Commissioner for Patents

April 5, 2001

Page 3

11. Two (2) return postcards; and
12. Our check No. **30849** for \$ 2,362.00 to cover:

\$ 710.00 Filing fee for patent application;

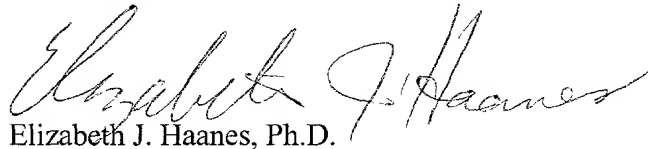
\$ 1,652.00 Fee for excess claims.

In accordance with 37 C.F.R. § 1.821(f), the paper copy of the sequence listing and the computer readable copy of the sequence listing submitted herewith in the above application are the same.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Elizabeth J. Haanes, Ph.D.

Agent for Applicants

Registration No. 42,613

EJH/pcd

Encls.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Wei et al.

Appl. No.: 09/006,353

Art Unit: 1634

Filed: January 13, 1998

Examiner: O'Hara, E.

For: Tumor Necrosis Factor Receptor 5

Docket No.: 1488.1280002/EKS/EJH

Statement Concerning the Deposited cDNA Clone

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:


The undersigned attorney of record hereby states:

1. A plasmid containing human Tumor Necrosis Factor Receptor 5 cDNA was deposited under the terms of the Budapest Treaty on November 20, 1996, at the American Type Culture Collection (ATCC), Patent Depository, 10801 University Boulevard, Manassas, Virginia 20110-2209 (current address), and given accession number 97798, as evidenced by the copy of the ATCC Deposit Receipt attached hereto.

2. Assurance is hereby given that: (1) the deposit was made under terms of the Budapest Treaty; (2) except for the limitations allowed by 37 C.F.R. § 1.808(b), all restrictions on the availability to the public of the deposit will be irrevocably removed upon the granting of a patent from the captioned application; (3) the deposit has been made under conditions such that access to the material will be available during the pendency of the captioned patent application to one determined by the Commissioner; and (4) the deposit will be maintained with the care necessary to keep it viable and uncontaminated for a period of at least five years after the most recent request for the furnishing of a sample of the deposit, and in any case, for a period of at least thirty years after the date of deposit or for the enforceable life of the patent, whichever period is longer.

Respectfully submitted

Date: April 17, 2000


Jonathan L. Klein (Reg. No. 41,119)
Attorney for Applicants

Human Genome Sciences, Inc.
9410 Key West Avenue
Rockville, MD 20850
Telephone: (301) 251-6015